

FIG. 2

FIG. 3

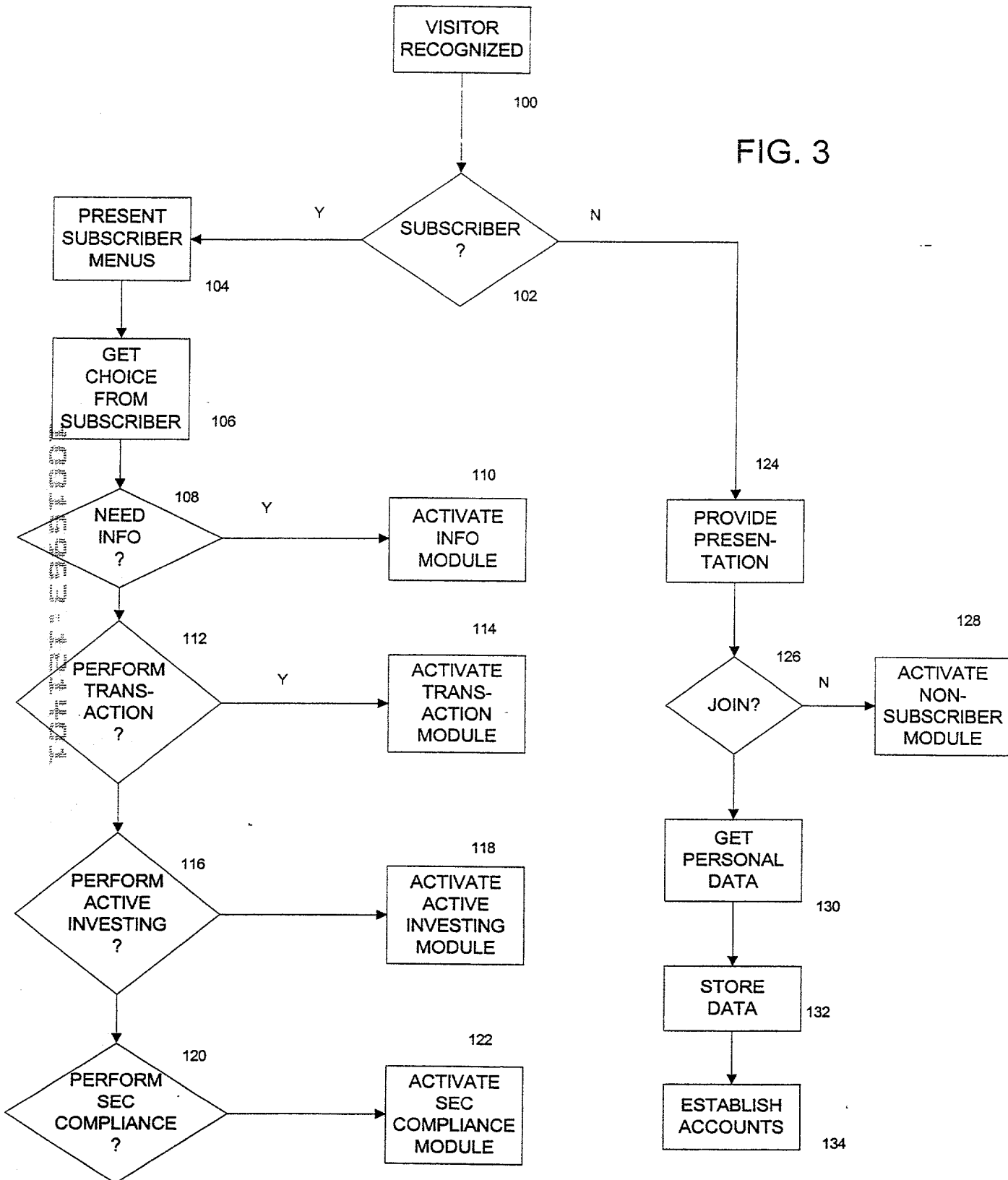


Figure 4

| P # | Parent Process | Process | Sub-process | Agent | Entity | Attribute |
|--------|-------------------------------|---|-----------------------|-------------------|----------------------|--------------------------|
| 1.0.0 | Engage site visit | | | | | |
| 1.1 | | Enable Subscriber access | | Terminals | Visitor | screen name |
| 1.1.1 | | | Gather data | Network | Subscriber | password |
| 1.1.2 | | | Verify data | DB-Server | | |
| 1.1.3 | | | Authenticate password | Data Flow | | |
| 2.0.0 | Invoke Active Investing | | | | | |
| 2.1.0 | | Deliver moderated content information | | Chief Workstation | Chief | file type |
| 2.1.1 | | Moderate and display content | | Communication Com | Vendor1 | news & analyses |
| 2.1.2 | | Moderate and facilitate communication | | Active Archive | TOS | correspondence & filings |
| 2.1.3 | | Manage archive & document distribution | | Data Store | Disclosures | disclosure |
| 2.1.4 | | Access 3rd Party data | | External Agent1 | Agreements | |
| 2.1.5 | | Subscribe & incorporate with reference | | | Commission schedules | |
| 2.1.6 | | Search | | | Licenses | |
| 2.1.7 | | Deliver programmed content information | | | Materials | |
| 2.1.8 | Enable Network enrollment | | | | Programs | |
| 2.1.9 | | Offer to Visitors | | | Directories | |
| 2.1.91 | | Visitor selections | | | Transcripts | |
| 2.2.0 | Perform Subscriber enrollment | | | | Filings | Data Set2 |
| 2.2.1 | | Establish site disclosure & TOS | | | | |
| 2.2.2 | | Gather data | | | | |
| 2.2.3 | | Review & confirm Entity selections | | | | |
| 2.2.4 | | Establish subscription disclosure & TOS | | | | |
| 2.2.5 | | Authorize Name & Password | | | | |

Figure 4 (cont'd.)

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| Parent Process | | Sub-process | | | | | Agent | Entity | Attribute |
|----------------|---------|--|--|--|--|--|--------------------|-----------------------|---|
| P # | Process | | | | | | | | |
| 2.2.6 | | Enable directory preferences | | | | | External Agent2 | Vendor2 | |
| 2.2.7 | | Enable credit card billing & renewal | | | | | | | |
| 2.2.8 | | Activate Subscriber | | | | | | | |
| 2.2.9 | | Enable Subscriber access | | | | | | | |
| 2.3.0 | | Perform Account enrollment | | | | | Transaction Bridge | Account Broker-dealer | Data Set3 |
| 2.3.1 | | Gather data | | | | | | | |
| 2.3.2 | | Confirm Entity & Attribute selections | | | | | | | |
| 2.3.3 | | Review & confirm Account suitability | | | | | | | |
| 2.3.4 | | Establish subscription disclosure & TOS | | | | | | Vendor3 | |
| 2.3.5 | | Identification & Signature verification | | | | | | | |
| 2.3.6 | | Authorize Name & Password | | | | | | | |
| 2.3.7 | | Enable Account preferences | | | | | | | |
| 2.3.8 | | Enable customer service access | | | | | | | Disclosure listing Investment discretion Proxy discretion |
| 2.3.9 | | Fund & activate Account | | | | | | | |
| 2.3.91 | | Enable Account access | | | | | | | |
| 2.4.0 | | Perform Observer enrollment | | | | | | | |
| 2.4.1 | | Gather data | | | | | | Observer | Data Set4 |
| 2.4.2 | | Review & confirm Entity & Attribute selections | | | | | | | |
| 2.4.3 | | Review & confirm Observer suitability | | | | | | | |
| 2.4.4 | | Establish Observer disclosure & TOS | | | | | | | |
| 2.4.5 | | Identification & Signature verification | | | | | | | |
| 2.4.6 | | Authorize Name & Password | | | | | | | |
| 2.4.7 | | Enable Observer preferences | | | | | | | |

Figure 4 (cont'd.)

| Parent Process | | Sub-process | | | Agent | Entity | Attribute |
|----------------|--|--|--|--|-------|-----------------------------|-----------|
| P # | Process | Sub-process | | | Agent | Entity | Attribute |
| 2.4.8 | | Activate Observer | | | | | |
| 2.4.9 | | Enable Observer access | | | | | |
| 3.0.0 | Perform Active Investing | | | | | | |
| 3.1.0 | Access Active Investing module | Access & exchange information | | | | Portfolio management system | |
| 3.1.1 | | Access customer service | | | | | |
| 3.1.2 | Access Transaction module | Establish broker-dealer link | | | | Reg. 17A trading system | |
| 3.2.0 | | Display Account information | | | | Trading broker | |
| 3.2.1 | Apply Active Investing Analytics | Execute transactions | | | | Clearing broker | |
| 3.2.2 | | Assess fees | | | | Model portfolio | |
| 3.3.0 | Modify Account information & preferences | Terminate & withdraw Accounts | | | | Index portfolio | |
| 3.4.0 | | Access customer service | | | | | |
| 3.4.1 | Access Compliance module | Gather Account data | | | | NASD Standards | |
| 3.4.2 | | Evaluate data completeness and integrity | | | | Federal Securities Laws | |
| 3.4.3 | Analyze and report Account suitability | Display Account information, history & preferences | | | | Forms; SEC | |
| 3.4.4 | | Calculate and display Account eligibility | | | | Forms; Other | |
| 3.5.0 | Review and designate Account Compliance Bridge | Review and designate Account Compliance Bridge | | | | Transaction records | |
| 3.5.1 | | Enable Active Investing Account | | | | Proxy (14-a) templates | |
| 3.5.1.1 | | | | | | Concert (13-d) templates | |
| 3.5.2 | | | | | | | |
| 3.5.2.1 | | | | | | | |
| 3.5.2.2 | | | | | | | |
| 3.5.2.3 | | | | | | | |
| 3.5.2.4 | | | | | | | |

Figure 4 (cont'd.)

| Parent Process | | Process | | | Entity | Attribute |
|----------------|---|---------------|--|--|---------------|-----------|
| P # | Sub-process | Agent | | | | |
| 3.5.3 | Analyze Network Filing requirements | Legal counsel | | | Legal counsel | |
| 3.5.3.1 | Review Active Investing Data Communication | | | | | |
| 3.5.3.2 | Aggregate Network investment Accounts | | | | | |
| 3.5.3.3 | Access public filing data | | | | | |
| 3.5.3.4 | Compute and compare investment thresholds and materiality for Network | | | | | |
| 3.5.3.5 | Identify Network filing requirements | | | | | |
| 3.5.4 | Schedule, prepare & review filings | | | | | |
| 3.5.4.1 | Access Account and other data, forms & templates | | | | | |
| 3.5.4.2 | Prepare filings | | | | | |
| 3.5.4.3 | Integrate 3rd party data | | | | | |
| 3.5.4.4 | Conduct fiduciary review | | | | | |
| 3.5.5 | Deliver filings | | | | | |
| 3.5.5.1 | Electronic delivery | | | | | |
| 3.5.5.2 | Conventional delivery | | | | | |
| 3.5.6 | Access customer service | | | | | |
| N# | Notes | | | | | |
| 1 | Agent links are cumulatively employed performing processes | | | | | |
| 2 | Further sub-processes established for proprietary, commercial and open software integration | | | | | |
| 3 | Further sub-processes established for regulatory and commercial circumstances | | | | | |
| 4 | Status designations entail electronic and fiduciary review | | | | | |

FIGURE 4A

| | Parent Process | | | | | |
|--------|-------------------------|---------------------------------------|---|--|----------------------|-----------------|
| | | Process | | | Agent | Menu |
| P# | | | Sub-process | | | Range |
| 1.0.0 | Engage site visit | | | | | |
| 1.1 | | Enable Subscriber access | | | Terminals | |
| 1.1.1 | | | Gather data | | Network | |
| 1.1.2 | | | Verify data | | DB-Server | |
| 1.1.3 | | | Authenticate password | | Data Flow | |
| 2.0.0 | Invoke Active Investing | | | | | |
| 2.1.0 | | Deliver moderated content information | | | Chief Workstation | |
| 2.1.1 | | | Moderate and display content | | Communication System | |
| 2.1.2 | | | Moderate and facilitate communication | | Data Store | |
| 2.1.3 | | | Manage archive & document distribution | | External Agent1 | |
| 2.1.4 | | Access 3rd Party data | | | | |
| 2.1.5 | | | Subscribe & incorporate with reference | | | |
| 2.1.6 | | | Search | | | |
| 2.1.7 | | | Deliver programmed content information | | | |
| 2.1.8 | | Enable Network enrollment | | | | |
| 2.1.9 | | | Offer to Visitors | | | |
| 2.1.91 | | | Visitor selections | | | |
| 2.2.0 | | Perform Subscriber enrollment | | | | |
| 2.2.1 | | | Establish site disclosure & TOS | | | |
| 2.2.2 | | | Gather data | | | |
| 2.2.3 | | | Review & confirm Entity selections | | | |
| 2.2.4 | | | Establish subscription disclosure & TOS | | | |
| 2.2.5 | | | Authorize Name & Password | | | |
| 2.2.6 | | | Enable directory preferences | | | |
| 2.2.7 | | | Enable credit card billing & renewal | | | External Agent2 |
| 2.2.8 | | | Activate Subscriber | | | |
| 2.2.9 | | | Enable Subscriber access | | | |
| 2.3.0 | | Perform Account enrollment | | | | |
| 2.3.1 | | | Gather data | | Transaction Bridge | |
| 2.3.2 | | | Confirm Entity & Attribute selections | | | |
| 2.3.3 | | | Review & confirm Account suitability | | | |
| 2.3.4 | | | Establish subscription disclosure & TOS | | | |
| 2.3.5 | | | Identification & Signature verification | | | |

FIGURE 4B

| | Parent Process | | | | Agent | Menu |
|---------|--------------------------|--------------------------------|--|-----------------------------|-------|-------|
| | | Process | | | | |
| P# | | | Sub-process | | | Range |
| 2.3.6 | | | Authorize Name & Password | | | |
| 2.3.7 | | | Enable Account preferences | | | |
| 2.3.8 | | | Enable customer service access | | | |
| 2.3.9 | | | Fund & activate Account | | | |
| 2.3.91 | | | Enable Account access | | | |
| 2.4.0 | | Perform Observer enrollment | | | | |
| 2.4.1 | | | Gather data | | | |
| 2.4.2 | | | Review & confirm Entity & Attribute selections | | | |
| 2.4.3 | | | Review & confirm Observer suitability | | | |
| 2.4.4 | | | Establish Observer disclosure & TOS | | | |
| 2.4.5 | | | Identification & Signature verification | | | |
| 2.4.6 | | | Authorize Name & Password | | | |
| 2.4.7 | | | Enable Observer preferences | | | |
| 2.4.8 | | | Activate Observer | | | |
| 2.4.9 | | | Enable Observer access | | | |
| 3.0.0 | Perform Active Investing | | | | | |
| 3.1.0 | | Access Active Investing module | | Portfolio management system | | |
| 3.1.1 | | | Access & exchange information | | | |
| 3.1.2 | | | Access customer service | | | |
| 3.2.0 | | Access Transaction module | | Reg. 17A trading system | | |
| 3.2.1 | | | Establish broker-dealer link | | | |
| 3.2.2 | | | Display Account information | | | |
| 3.3.0 | | | Apply Attitude Investing Analytics | | | |
| 3.4.0 | | | Execute transactions | | | |
| 3.4.1 | | | Assess fees | | | |
| 3.4.2 | | | Modify Account information & preferences | | | |
| 3.4.3 | | | Terminate & withdraw Accounts | | | |
| 3.4.4 | | | Access customer service | | | |
| 3.5.0 | | Access Compliance module | | | | |
| 3.5.1 | | | Gather Account data | | | |
| 3.5.1.1 | | | Evaluate data completeness and integrity | | | |
| 3.5.2 | | | Analyze and report Account suitability | | | |
| 3.5.2.1 | | | Display Account information, history & preferences | | | |
| 3.5.2.2 | | | Calculate and display Account eligibility | | | |

FIGURE 5A

ActiveInvesting.com

Affiliate of Matrix Capital Group, Inc.

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HFW LLC

Investment Advisor

David Lang

Active Investing Archive

| <u>date</u> | <u>ticker</u> | <u>company</u> | <u>source</u> | <u>topic</u> | <u>moderator note</u> |
|-------------|---------------|----------------|-------------------|---|----------------------------------|
| 1/3/02 | | | David Lang, Chief | Risk Advisory | Please read! |
| 1/3/02 | XYZ | betaTarget | Warrior1 | Letter to Horst Bucholz, betaTarget CEO | First Notice |
| 5/14/01 | xyz | betaTarget | Warrior1 | betaTarget June 30, 2001 analysis | electronics don't connect |
| 3/14/01 | xyz | betaTarget | Warrior1 | betaTarget March 30, 2001 analysis | dismal reading |
| 1/3/02 | xyz | betaTarget | Warrior1 | beta campaign | Strategic Investment opportunity |
| | | | Warrior1 | Active Investing list | The Field |
| | | | Warrior1 | Active Investing strategy | Overview |
| | | | David Lang, Chief | Network Subscriber directory | The Club |
| | | | David Lang, Chief | Network Terms of Service | The Rules |
| | | | David Lang, Chief | About Warrior1@HedgeFundWarrior.Com | The History |
| 10/7/01 | | | David Lang, Chief | About HedgeFundWarrior.com | The Site for Active Investing |
| 10/7/01 | | | | | |

| <u>file type</u> | <u># of hits & posts</u> |
|------------------|------------------------------|
| MS.net | x1.y1 |
| MS.net | x1.y1 |
| MS.net | x1.y1 |
| MS.net | x1.y1 |
| MS.net | x1.y1 |
| MS.net | x1.y1 |
| MS.net | x1.y1 |
| MS.net | x1.y1 |
| MS.net | x1.y1 |
| MS.net | x1.y1 |
| MS.net | x1.y1 |

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Archive Search

| <u>date</u> | <u>ticker</u> | <u>company</u> | <u>source</u> | <u>topic</u> | <u>moderator note</u> | <u>file type</u> |
|-------------|---------------|----------------|---------------|--------------|-----------------------|------------------|
| ↕ | lookup | | key word | key word | key word | menu |
| ↕ | lookup | | key word | key word | | |

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FIGURE 5B

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David Lang

Communication Command

| <u>date</u> | <u>ticker</u> | <u>company</u> | <u>moderator</u> | <u>topic</u> | <u>moderator note</u> |
|-------------|---------------|---------------------------|-------------------|-------------------------------------|--------------------------------------|
| 1/3/02 | | | Warrior2 | Risk Advisory | Please listen to Stonewall Jackson!! |
| 4/15/01 | adp | Automated Data Processing | ADP | ADP Investor Relations | useful web site |
| 4/15/01 | abcd | ABCD Corp | Warrior1 | Beta campaign governance | securities attorney needed |
| 4/15/01 | abcd | ABCD Corp | Warrior1 | Beta campaign agenda | proxy contest contemplated |
| 1/3/02 | abcd | ABCD Corp web site | abcd | Beta campaign target | pitiful content |
| | | | Sachem1 | Active Investing today | wassup |
| | | | David Lang, Chief | Network Subscriber directory | The Club |
| | | | David Lang, Chief | Network Terms of Service | The Rules |
| 10/7/01 | | | David Lang, Chief | About Warrior1@HedgeFundWarrior.Com | The History |
| 10/7/01 | | | David Lang, Chief | About HedgeFundWarrior.com | The Site for Active Investing |

| <u>file type</u> | <u># of hits & posts</u> |
|------------------|----------------------------------|
| audio | x1,y1 |
| link | x1,y1 |
| MS.net | x1,y1 |
| MS.net | x1,y1 |
| link | x1,y1 |
| MS.net | x1,y1 |
| MS.net | x1,y1 |
| MS.net | x1,y1 |
| MS.net | x1,y1 |
| MS.net | x1,y1 |

Command Search

| <u>date</u> | <u>ticker</u> | <u>company</u> | <u>moderator</u> | <u>topic</u> | <u>moderator note</u> | <u>file type</u> |
|-------------|---------------|----------------|------------------|--------------|-----------------------|------------------|
| ↕ | lookup | lookup | key word | key word | key word | menu |

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